

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.: 09/818,483 Confirmation No.: 9569
Applicant: E. Brian Finkelstein, et al.
Title: NEGOTIATED RIGHT EXCHANGE
Filed: March 27, 2001
Art Unit: 3692
Examiner: Timothy Harbeck

Atty. Docket: 00-8201
Customer No. 63710

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with 37 C.F.R. §§1.56, 1.97 and 1.98, Applicant wishes to make of record the items listed on the accompanying Form PTO-1449. Applicant respectfully requests the Examiner to fully consider the items and independently ascertain their teaching before issuance of the next action, and to make them of record in the file. The Examiner is also requested to initial and return a copy of the enclosed Form PTO-1449 to evidence such consideration.

1. Applicant has listed publication dates on the attached Form PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated. Applicant reserves the right to establish the patentability of the claims over any information provided herewith, and/or to rebut any showing that this information may be prior art, and/or to rebut any showing that this information is enabling for the teachings purportedly offered, and/or to rebut any showing that this information is analogous art, and/or to raise any other issue that tends to show patentability over the information.

2. Copies of references other than U.S. Patents may be found in the files of U.S. applications 09/982,709, 09/995,698 and 09/858,091.

3. This Information Disclosure Statement is being filed to the knowledge of the undersigned, before the mailing date of a first Office Action on the merits after filing of a request for continued examination. No fee is due, pursuant to 37 C.F.R. §1.97(b)(4).

4. The Commissioner is hereby authorized to charge any additional fees that may be required for this Information Disclosure Statement, or credit any overpayment, to Deposit Account No. 50-3938, Order No. 00-8201.

Respectfully submitted,
HELIX FINANCIAL SYSTEMS, L.P. INC.

Dated: April 20, 2007

By: / David E. Boundy /
David E. Boundy
Registration No. 36,461

HELIX FINANCIAL SYSTEMS, L.P. INC.
110 East 59th St.
New York, NY 10022
(212) 294-7848
(917) 677-8511 (FAX)

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO. 00-8201		SERIAL NO. 09/818,483	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT E. Brian Finkelstein, et al.			
				FILING DATE March 27, 2001		GROUP ART UNIT 3692	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	3,573,747		Adams				
	4,674,044		Kalmus				
	4,903,201		Wagner				
	5,077,665		Silverman				
	5,101,353		Lupien				
	5,136,501		Silverman				
	5,243,515		Lee				
	5,297,032		Trojan				
	5,563,783		Stolfo				
	5,715,402		Popolo				
	5,717,989		Tozzoli				
	5,727,165		Ordish				
	5,774,873		Berent				
	5,802,499		Sampson				
	5,809,483		Broka				
	5,835,896		Fisher				
	5,845,266		Lupien				
	5,905,975		Ausubel				
	5,924,082		Silverman				
	5,924,083		Silverman				
	5,991,743		Irving				
	6,006,201		Berent				
	6,016,483		Rickard				
	6,018,721		Azir				
	6,076,074		Cotton				
	6,098,051		Lupien				
	6,105,005		Fuhrer				
	6,112,189		Rickard				
	6,119,093		Walker				
	6,131,087		Luke				
	6,134,535		Belzberg				
	6,144,947		Schwartz				
EXAMINER			DATE CONSIDERED				

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO. 00-8201		SERIAL NO. 09/818,483	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT E. Brian Finkelstein, et al.			
				FILING DATE March 27, 2001		GROUP ART UNIT 3692	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	6,161,099		Harrington				
	6,236,972		Shkedy				
	6,260,024		Shkedy				
	6,272,474		Garcia				
	6,278,982		Korhammer				
	6,390,472		Vinarski				
	6,408,282		Buist				
	6,499,018		Alaia				
	6,519,574		Wilton				
	6,609,112		Boarman				
	6,659,861		Faris				
	6,754,639		Ginsberg				
	6,892,186		Priest				
	6,952,682		Wellman				
	2001/0051907		Kumar				
	2001/0034688		Annunziata				
	2001/0032163		Fertik				
	2002/0029180		Kirwin				
	09/982,709		Gilbert				
	09/995,698		Gilbert				
	09/858,091		Gilbert				
EXAMINER			DATE CONSIDERED				

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO. 00-8201		SERIAL NO. 09/818,483	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT E. Brian Finkelstein, et al.			
				FILING DATE March 27, 2001		GROUP ART UNIT 3692	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
		EP 0 401 203	Dec 5, 1990	EPO			
		EP 0 512 702	Nov 11 1992	EPO	G06F	15/21	
		EP 0 987 644	Mar 22 2000	EPO			
		EP 1 118 953	July 2001	EPO			
		WO 96/34357	Oct 31, 1996	WIPO			
		WO 00/26834	May 11 2000	WIPO			
		WO 00/21013	Apr 13, 2000	WIPO			
		WO 00/28450	May 18, 2000	WIPO			
		WO 00/58862	Oct 5, 2000	WIPO			
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)							
		Sequor Corp., MoneyMatch Functional Spec (August 1990)					
		"Statement of Grounds" from Opposition to EP 0 625 275					
		Sarah Best, "European repo to go electronic," International Securities Lending, London (3rd quarter 1998) page 4					
		Claude Brown, "Taxing repos and stock loans," International Tax Review, vol. 7 no. 6 pp. 35, London (June 1996)					
		Tim Hyam, "Repo trading systems let the light in," International Securities Lending, London (4th quarter 1997), page 29					
		Daniel L. Kovlak, "what you should know about Repos," Management Accounting vol. 67 no 11, p. 53 (May 1986)					
EXAMINER				DATE CONSIDERED			